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ABSTRACT

This paper analyzes the impact of adopting the Anglo-American Cataloging Rules, second edition (AACR2), upon cataloging at the library of the University of Illinois at Urbana-Champaign. The staffing and workflow of the OCLC unit which incorporated AACR2 is described and figures are reported on the effects of AACR2 application as measured on the use of OCLC data. It is reported that, even prior to the AACR2 conversion of the entire OCLC database in December 1980, the changes in cataloging could be absorbed without losses in production at Urbana-Champaign. A study of the changes made to OCLC monographic copy over a 2-month period in 1980 is described, illustrating the generally low percentage of change, and within that percentage, the high number of changes which were not substantial but dealt only with form. A flow chart for OCLC copy cataloging at Urbana-Champaign, a sample AACR2 impact log, and a graph showing production figures for OCLC monographic cataloging from May 1979 to May 1981 are provided, as well as tables showing the number of changes per field in headings used for personal names, corporate names, conferences and meetings, and series. (Author/ESR)

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AACR2 Impact and OCLC Cataloging

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Abstract

Effective OCLC workflow procedures are crucial to achieving the successful implementation of any change including those which occur when editing OCLC copy to conform to the second edition of the Anglo-American Cataloguing Rules. This article describes the staffing and workflow of an efficient OCLC unit in a large academic environment which has incorporated AACR2 and reports figures on the effects of AACR2 application as measured on the use of OCLC data, prior to January 1981.

AACR2 Impact and OCLC Cataloging

The past three years have witnessed the publication of many articles concerning the second edition of the Anglo-American Cataloguing Rules[1] and the impact of the change which it represents on library operations. The bulk of these AACR2 studies have been technically oriented, advising us of how to cope with changes in cataloging which in turn affect catalog maintenance. Studies have been undertaken at both small and large institutions and, in general, have attempted to sample records cataloged during a given period and project the impact of AACR2 based upon such a sample.[2]

William G. Potter, in a study completed in 1979, sampled personal name occurrences in the existing catalog of the University of Illinois at Urbana-Champaign, concluding that only 5.7 percent of all headings for new titles would require revision in the catalog.[3] Kline and Taylor reported a higher level of conflict in projected studies completed at Emory University in 1979.[4] Undoubtedly the most definitive study in this area was undertaken by Arlene Taylor Dowell, who reported on her findings at the 1980 summer convention of the American Library Association.[5] Dowell sampled the cataloging of a full calendar year from three academic institutions, one small, one medium and one large. Based on these samples, she was able to predict percentages of difference in form of heading, as well as conflicts with entries already in the catalog, projected over a five year period.

The figures presented in this article represent actual application of AACR2 for monographic materials with OCLC copy (prior to conversion of the OCLC database in December 1980) by a large academic institution (University of Illinois at Urbana-Champaign). The study focused purely on the cataloging operation and makes no attempt to measure conflict at the point of filing. Of equal

interest is the workflow in a copy cataloging unit, since the impact of AACR2 upon staff will be dependent on this workflow and may vary accordingly. It would therefore not be appropriate to report figures of impact alone, without the background of a staffing and organization outline.

This staffing and organization is of interest to the entire library community, as what were once purely local patterns become of national concern when tied to OCLC or other smaller automated support systems. Librarians have realized that an efficient organization based upon these automated systems will allow for change without loss of production or costly increases in staff. Our rising concern with sharing experiences in these areas is evident in the popularity of the recently formed Copy Cataloging Discussion Group under the auspices of ALA and RTSD. The current chairperson, Eva Lively of Duke University, has described the purpose of the group "... to be the discussion of concerns of copy catalogers such as organization of copy cataloging units, workflow, etc...."[6]

This article, then, has two purposes: (1) to describe the staffing and workflow of an efficient OCLC unit which has incorporated AACR2 and (2) to report figures on the effects of AACR2 application as measured on the use of OCLC data, prior to January 1981.

AACR2 ADOPTION

On November 1, 1979, the University of Illinois at Urbana-Champaign implemented the second edition of the Anglo American Cataloguing Rules, a full fourteen months ahead of the announced plans of the Library of Congress. The decision to "jump the gun" was not made lightly but was based upon several local factors. The need for a new card catalog was painfully evident. The existing,

single alphabet, 7,000 drawer catalog which existed was not only costly to maintain but impossible for users to master due to its size and to extremely complex filing rules. A new catalog, using simplified filing rules and a new cataloging code, would aid users in finding more recent materials, at least.

In addition, the University of Illinois at Urbana-Champaign Library is actively developing an online catalog, to be based upon machine-readable records created through OCLC. Since OCLC production averages 8,000-9,000 titles per month at Urbana, fourteen months of cataloging would represent approximately 120,000 records to be corrected to AACR2 before being fed into the future online, full bibliographic record system. For these practical reasons, the decision was made to adopt AACR2 and begin cataloging both originals and materials with OCLC copy according to the code on November 1, 1979.

To prepare for this change, training and orientation sessions on varying levels were offered to the staff during the months of September and October, no doubt similar to the training efforts which took place throughout the country in 1980. Original Catalogers and OCLC Catalogers, often paraprofessional, attended four three-hour hands-on sessions, while bibliographers and public service staff attended more general orientation sessions. All training was coordinated by the Principal Cataloger, who also prepared written guidelines for use by all Catalogers.[7]

OCLC Cataloging Workflow

Prior to the advent of OCLC, cataloging as well as accompanying cataloging routines, workflow and staffing decisions were largely developed separately according to local needs and practices of individual libraries. Even the most optimistic librarian would have been hard pressed to predict the positive

effects which OCLC has had on library operations since 1970. Users have witnessed increased efficiencies, as greater control of materials has been achieved at lower cost. Along with the success of sharing bibliographic catalog records contributed to the OCLC database has come an interest in sharing approaches to routines, workflow and staffing patterns. Unanticipated benefits such as operational standardization of cataloging departments have occurred as the system has served to draw together librarians from across the country who desire to share experiences and methods, and to speak as a unified group to OCLC about system concerns.

The workflow within OCLC units has attracted and continues to hold national interest. Gapen and Morita were among the first to address the issue of OCLC and workflow patterns as they charted the metamorphosis of technical services at Ohio State University post OCLC, over a period stretching from 1969 to 1974.[8] The article graphically illustrates the streamlining effects of OCLC on workflow and, by implication, the effects of workflow on the efficient use of the OCLC system.

Effective OCLC workflow procedures are fundamental to achieving the successful implementation of any change, including those which occur when editing OCLC copy to conform to the second edition of the Anglo-American Cataloguing Rules. Figure 1 charts the flow of monographs in a large academic copy cataloging unit (The University of Illinois at Urbana-Champaign) following the adoption of AACR2 (a similar discussion of the workflow of serials is available[9]). Materials are first received and processed in the Order, Claiming and Receipt Section [OCR], prior to forwarding to the Searching Section. At that point, monographs with cataloging in publication information (CIP's) are searched on the automated circulation system, LCS. Those materials already

recorded on LCS are then sent to the Added Copy Unit for processing. CIP's which are new to the system are forwarded to the OCLC cataloging unit where authority work, Dewey classification and cuttering are completed by paraprofessionals prior to processing on OCLC.

Insert FIG. 1 here

Monographs without cataloging in publication information are first searched on OCLC. For those items not found on OCLC, headings are verified in the OCLC Authority File prior to forwarding the items to the Original Cataloging Department. Items found on OCLC with our holding symbol, UIU, are forwarded to the Added Copy Unit for processing. The monographs which neither contain cataloging in publication information, nor include UIU on the OCLC record require that printouts be produced to facilitate Dewey classification. These books and accompanying printouts are then routed to the OCLC cataloging unit, whether the copy originates with Library of Congress or another OCLC participant.

The OCLC Monographic Cataloging Unit is staffed by two full time professionals, two high ranking paraprofessionals (Library Technical Assistants, Level 3), two clerks, .5 FTE each, and two Graduate Students in Library Science (.5 FTE each). The information contained in the OCLC printouts or Cataloging in Publication is checked against the piece and personal name, series and corporate headings are edited to conform to AACR2. If necessary, headings are established, authority cards are created and attached. Items which require more extensive authority work in manual files or in the National Union Catalog or other bibliographies are placed on shelves for a support staff member to

research. After editing, the copy items are classified and placed on shelves to be cuttered by clerical support staff. Utilizing the shelflisting capabilities of LCS, the books are then cuttered and forwarded to the OCLC operators for processing.

Eight terminal operators are responsible for editing records in OCLC. Once the record is retrieved, the fixed field, 300 field and holdings are completed. In general, editing the form of personal name headings to match the title page of the monograph is done at the terminals by the clerical terminal operators. These changes fall into categories identified by the Principal Cataloger as being straightforward, and guidelines for decision-making were provided to the terminals operators. Headings which require cross references are flagged and the operators type them later. More complex personal names as well as corporate and series headings are corrected on the printouts by the classification staff before the books are routed to the terminal operators. Subject headings other than Library of Congress subject headings are either corrected or deleted and the record is then produced. The operators then pencil in the call number in the book, and the book is placed on shelves to be routed to the marking section. Any discrepancies in headings are processed at the time of filing newly received cards into the "new card catalog." Discrepancies require that the authority file be checked for presence of the heading in question. Headings are edited to agree with those in the authority file or are established at that time. Cards are then reproduced in the corrected form. In this way problems are not anticipated but are dealt with as they occur. The work of the filer is then no longer termed as "error detection" with the intention of fingering a guilty party but rather becomes part and parcel of the entire unit workflow, recognized as a legitimate decision point.

Methodology

During the summer of 1980, two of the eight OCLC terminal operators were selected on the basis of their experience to participate in this study. A prestudy was conducted over a period of two weeks to determine what, if any, problems might be encountered, using the attached form. Based on the success of this pretest, the study was extended over the summer, a time period which was determined to be long enough to account for months of normal flow of materials.

The OCLC terminal operators recorded the presence of the fields representing personal, corporate conference and meetings, and series headings, those fields likely to be affected by AACR2. Using the form shown as Fig. 2, operators recorded either "no change" or "change" in these fields. In the event of a "change," they also recorded the type of change, that is, whether the field tag or simply the format of the heading was altered. For personal, corporate and conference meetings headings, types of changes included choice of main entry, whether or not the heading was located in the proper field, and if the heading was properly formulated according to AACR II. A total of 1400 monographic records with OCLC copy were surveyed, chosen from the regular workflow within the department which is not categorized and is, therefore, random in nature. The 1400 monographs selected represent 20 percent of the total of 7200 monographic records which were processed during that period.

Insert Figure 2 here

Findings

As reflected in Table I, personal name headings were least affected with only 10% of the total headings being changed. 89% of personal names used as main entry were left unchanged, while 93% of personal names used as subjects were unaffected and 85% of personal names used as added entries were unaltered. Alterations in field tags were from the 100 field for editors to the 700 field, as well as making added entries (700 field) for additional contributors not recorded in the OCLC record. However, most changes which occurred dealt with appropriately formulating the heading to match the title page of the piece, as in changing the heading: "Dusenberry, James Stable" to "Dusenberry, James S. (James Stable)."

Insert TABLE I here

The majority of corporate headings shown in Table II in the records surveyed were also not changed, as 71% of corporate headings used as main entry, 88% of those used as subjects and 72% of those used as added entries remained the same. Those changes which did occur were reflected by alterations in the form of headings. Representative of these changes is the alteration of the heading: "Illinois. University at Urbana-Champaign" to "University of Illinois at Urbana-Champaign."

Insert TABLE II here

As Table III indicates, the fields most affected by the application of AACR2 were 111 and 711, the conference and meeting headings. Changes in form predominated as 82% of these headings used as main entry and 73% of those used as added entry required alteration. The order of elements within the headings were changed consistently.

Insert TABLE III here

Table IV illustrates the impact of AACR2 upon series (440, 490 0, 490 1, 810, 840) which was generally reflected by changes in field, involving first the decision as to whether or not to trace a particular series. Alterations to series traced in a different form (490 1) occurred predominantly in favor of the title entry (840) rather than author/title (810) with 34% of the traced series (440) receiving an untraced status (490 0), while 30% of the untraced series became traced. Of those series traced in a different form (490 1), usually as corporate author/title (810), 47% were either changed to a traced title as a 440 or to an 840 with the corporate author/title field (810) deleted. In 34% of the cases involving changes to the 840 field, 80% of those changes required alterations in form.

Insert TABLE IV here

Production Figures: OCLC Monographic Cataloging

Figure 3 charts the monthly production of the OCLC monographic cataloging

unit at the University of Illinois at Urbana-Champaign Library, indicating the point at which AACR2 was introduced and records with copy began to be edited to conform to the rules. As the graph illustrates, apart from a low period for one to two months following introduction of the rules, production levels have remained consistent with those of pre-AACR2 periods, and even reached a record high during the summer of 1980.

The authors attribute this consistency of production primarily to an efficient workflow which in effect spread the increased editing work among the various component parts of the whole and thus avoided creating a bottleneck at any particular point. The full incorporation of the filing of cards into this workflow has enabled efforts to be directed to known heading changes, rather than attempting to predict many less obvious changes.

Insert Figure 3 here

Conclusions

This analysis of the impact of AACR2 on OCLC Cataloging at the University of Illinois at Urbana-Champaign Library has demonstrated that, even prior to the conversion of the database, the changes in cataloging can be absorbed without losses in production if workflow is efficient and if many heading discrepancies are not prejudged but dealt with only as they appear at the time of filing. Staff members who are assigned to input at the terminals can contribute significantly to these workflow efficiencies by correcting the forms of personal names which predominantly fall into pre-defined categories.

A further study of the changes being made to OCLC monographic copy sampled

over a two-month period illustrated the generally low percentage of change, and within that percentage, the high number of changes which were not substantial but dealt only with form. OCLC has reported that its December 1980 conversion of the database affected 3,716,740 headings in 2.7 million records.[10] It follows that the number of changes now required for OCLC copy will be fewer than reported in this article; however, the nature of those changes presently occurring and their number is of interest. A comparative study is planned for the coming year.

References

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10. Philip Schieber, Editor. OCLC Newsletter, no. 134 (January 16, 1981), p. 4. In press.

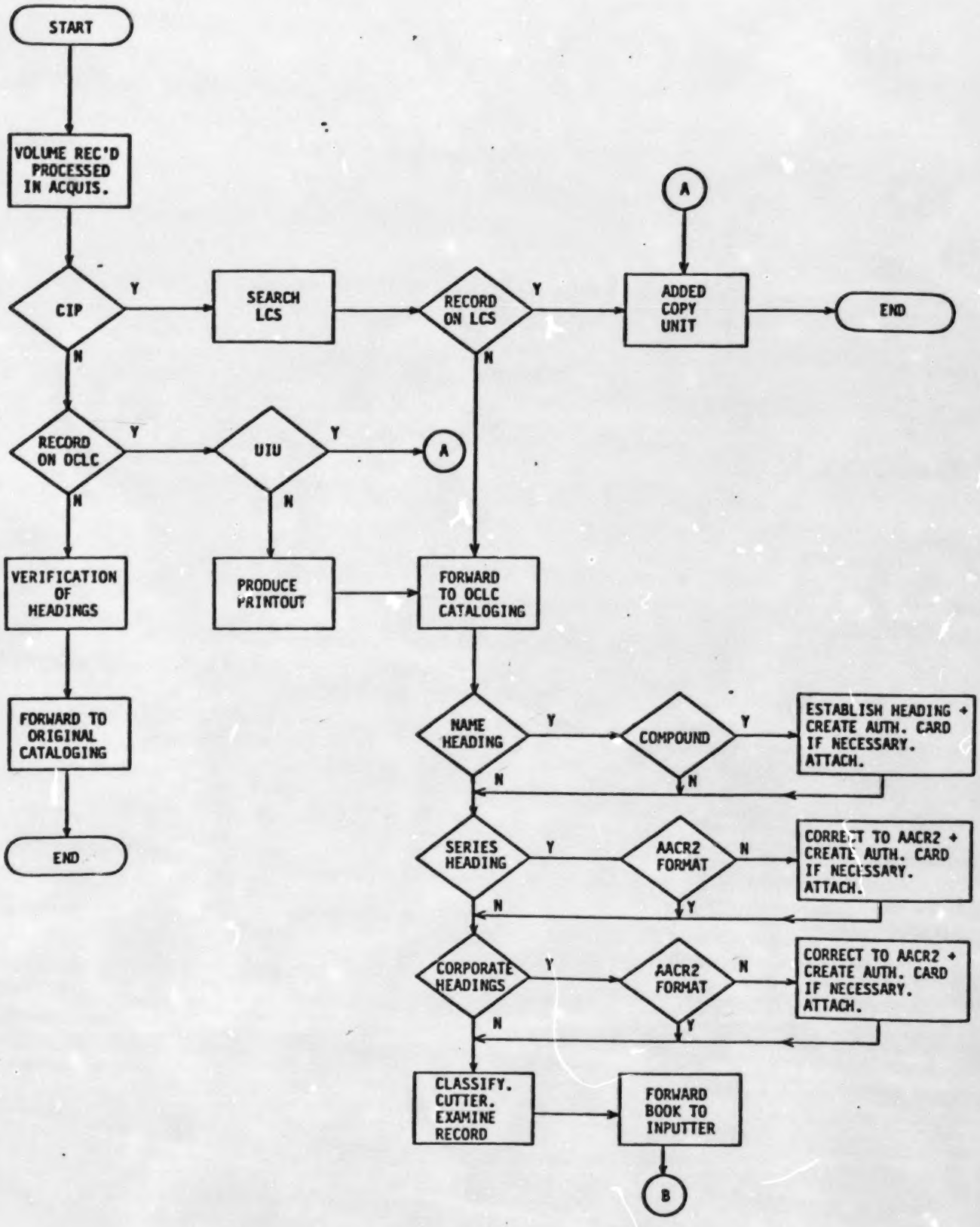
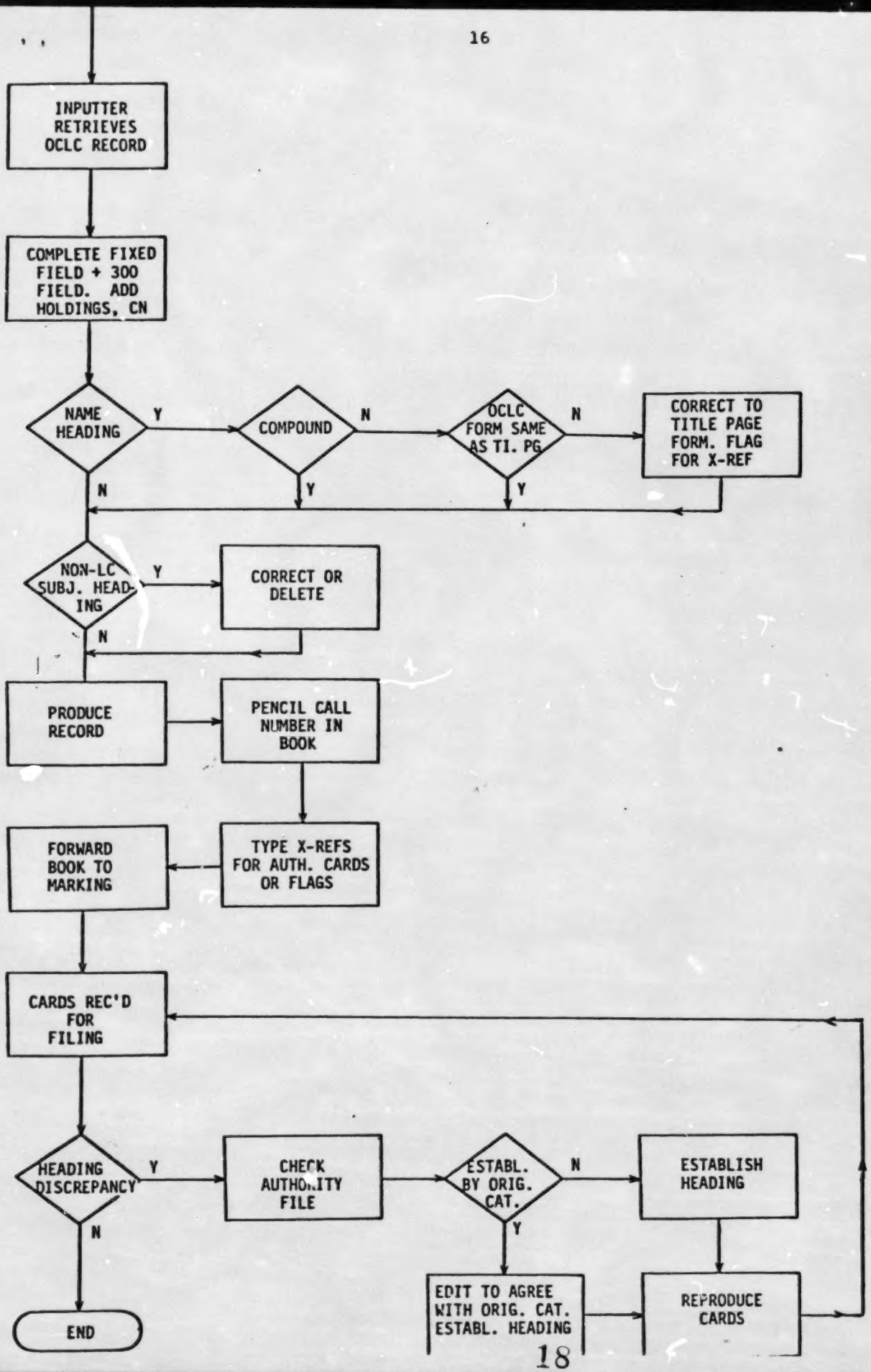


Fig. 1 OCLC Copy Cataloguing Workflow


INPUTTER RETRIEVES OCLC RECORD
COMPLETE FIXED FIELD + 300 FIELD. ADD HOLDINGS, CN
NAME HEADING
Y
COMPOUND
N
OCLC FORM SAME AS TI. PG.
N
CORRECT TO TITLE PAGE FORM. FLAG FOR X-REF
N
Y
Y
NON-LC SUBJ. HEADING
Y
CORRECT OR DELETE
N
PRODUCE RECORD
PENCIL CALL NUMBER IN BOOK
FORWARD BOOK TO MARKING
TYPE X-REFS FOR AUTH. CARDS OR FLAGS
CARDS REC'D FOR FILING
HEADING DISCREPANCY
Y
CHECK AUTHORITY FILE
ESTABL. BY ORIG. CAT.
N
ESTABLISH HEADING
N
Y
END
EDIT TO AGREE WITH ORIG. CAT. ESTABL. HEADING
REPRODUCE CARDS

Name:

F	P	NC	C	F	FM
1					
440					
490 0					
490 1					
610					
710					
711					
810					
840					

F	P	NC	C	F	FM
1					
440					
490 0					
490 1					
610					
710					
711					
810					
840					

F	P	NC	C	F	FM
1					
440					
490 0					
490 1					
610					
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810					
840					

F	P	NC	C	F	FM
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840					

Fig. 2 AACR II Impact Log

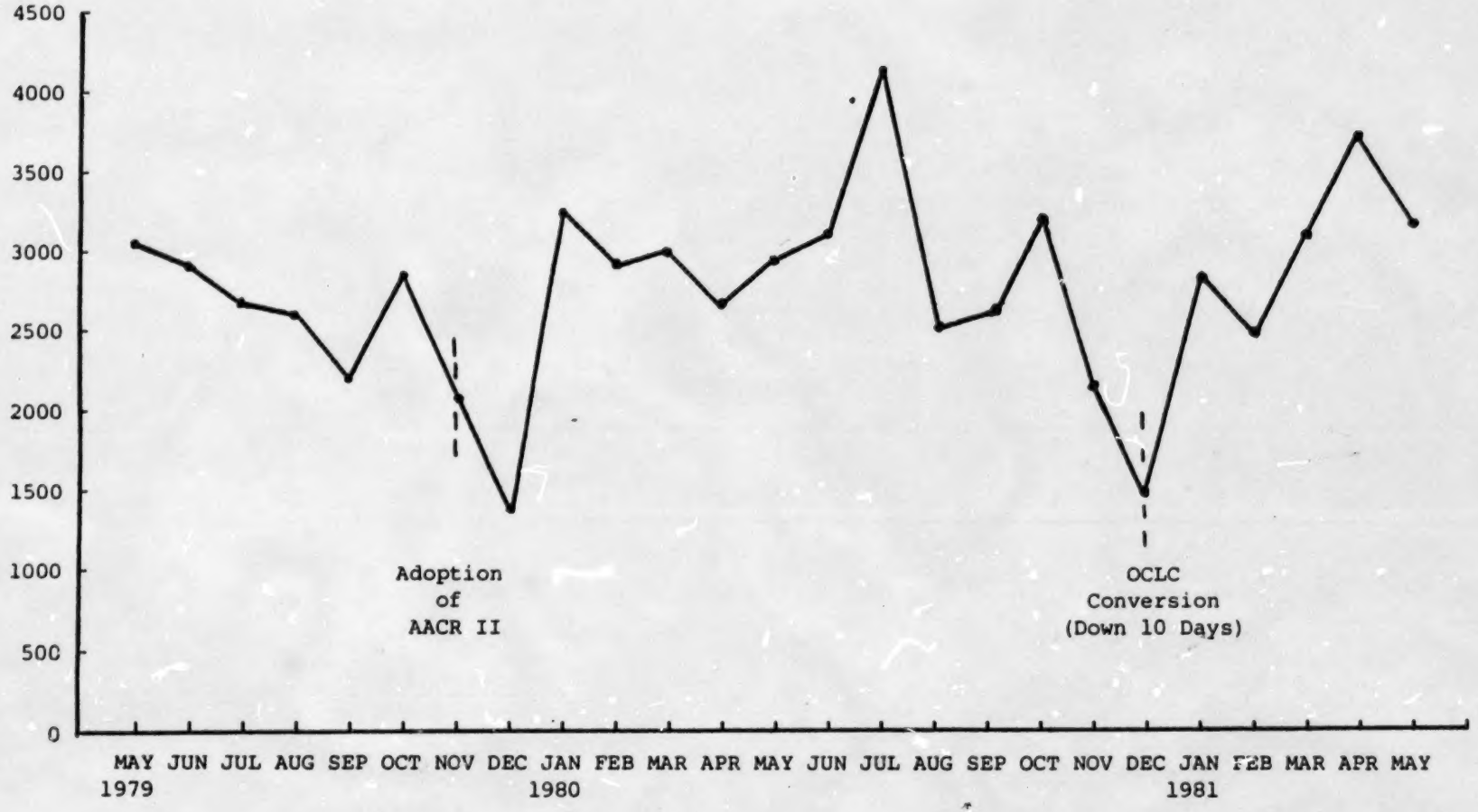

Fig. 3. Production Figures: OCLC Monographic Cataloging from May 1979 to May 1981.

TABLE I

Personal Name Headings

Field	Present	%	No Change	%	Change	%	Change in Field	%	Change in Form	%
100	1029	74	919	89	110	11	30	27	80	73
600	73	5	68	93	5	7	0	0	5	100
700	231	10	206	85	25	15	3	12	22	88

TABLE II

Corporate Name Headings

Field	Present	%	No Change	%	Change	%	Change in Field	%	Change in Form	%
110	100	7	71	71	29	29	8	28	21	72
610	40	3	35	88	5	12	0	0	5	100
710	198	14	142	72	56	28	11	20	45	80

TABLE III

Conference and Meeting Headings

Field	Present	%	No Change	%	Change	%	Change in Field	%	Change in Form	%
111	38	3	7	18	31	82	0	0	31	100
711	11	.8	3	27	8	73	3	37	5	63

TABLE IV

Series Headings

Field	Present	%	No Change	%	Change	%	Change in Field	%	Change in Form	%
440	188	13	124	66	64	34	60	94	4	6
490 0	243	17	169	70	74	30	67	91	7	9
490 1	114	8	50	44	54	47	51	94	3	6
810	99	7	11	11	88	89	74	84	14	16
840	43	2	28	65	15	34	3	20	12	80